

## Exhibit 300: Capital Asset Plan and Business Case Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview

1. **Date of Submission:** 2010-09-17

2. **Agency:** 021

3. **Bureau:** 04

4. **Name of this Investment:** DOTXX070: DOT Common Operating Environment (DOT COE)

5. **Unique Project (Investment) Identifier (UPI):** 021-04-02-12-01-1010-00

6. **What kind of investment will this be in FY 2012?:** Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2003

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

DOT has been transforming its multiple IT infrastructures from independent operations through federated management into a shared service Common Operating Environment (COE) that services the department exclusive of FAA and OIG. The COE consists of end user support, telecommunication, network, server and cyber security operations. The COE supports DOT strategic goals of Organizational Excellence, Security, and Preparedness & Response at a reduced cost by creating a centralized IT infrastructure to support DOT OAs and their business functions. This transformation is occurring in three phases. Phase one, already completed, established an active directory structure and a single network; and migrated all email, file, print and desktop services for the OAs at HQ. Phase two, about 82% complete, adds Departmental and OA field sites to the COE. Phase three, started at the beginning of FY10, will continue with O&M and the optimization of the consolidated environment. This phase aligns with OMB Federal Cloud Computing and Data Center Consolidation (FDCCI) initiatives. This phase also closes agency performance gaps by minimizing the overall IT footprint through the completion of consolidation of services in FY11 and the development and implementation of the field support model in FY11 and 12. This consolidation is improving the efficiency and service delivery in support of the DOT mission. The COE consolidation continues to improve energy efficiency goals by reducing the number of devices in combination with implementation of OMB Power Management requirements. Each year the COE provides scanning, patching, and service delivery as a part of its infrastructure services and completes a 25% refresh. In FY10 the DOT CIO created and implemented the Technology Acceleration Group to manage high priority DME projects. TAG current projects include: FDCCI OMB reporting, SharePoint 2010 transition, Windows 7 implementation, and ICAM. Approval of TAG support for initiatives is agreed upon by the TAG Executive Committee. The ACIO for Operations (Manager of COE) is a TAG Team Executive. The COE may provide minimal support on these projects that does not require extra funding. The TAG initiatives enable the COE to be completely an O&M investment focused on day-to-day mission critical IT support. FY13 will begin the next cycle of requirements determination for the next server operating system upgrade, desktop operating system and core application upgrades.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the**

investment including links to GAO and IG reports.

Title	Link
NONE	

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**  
2009-09-22
- b. **Provide the date of the most recent or planned approved project charter.** 2004-09-30

10. **Contact information?**

- a. **Program/Project Manager Name:** \*  
**Phone Number:** \*  
**Email:** \*
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Maureen Jones  
**Phone Number:** \*  
**Email:** \*

11. **What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA):** Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

## Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding  
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

**Table I.B.1: Summary of Funding**  
**(In millions of dollars)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 6

3. Insert the number of years covered in the column “BY+4 and beyond”: \*

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

\*

## Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded	6901	DTOS5909R00002	DTOS59-09-D-00467		*	*	\$0.2	Combination (two or more)	Y	2009-07-15	2019-09-30		
Awarded	6901	<a href="#">DTOS59D1000008</a>	DTOS59-09-D-00467		*	*	\$20.0	Time and Materials	N	2009-11-10	2014-09-30	Y	ActionNet Task Order: Seat and Email Management
Awarded	6901	<a href="#">DTOS59D1000009</a>	DTOS59-09-D-00467		*	*	\$48.7	Time and Materials	N	2009-11-10	2019-09-30	Y	ActionNet Task Order: Infrastructure Management
Awarded	6901	<a href="#">DTOS59D1000012</a>	DTOS59-09-D-00467		*	*	\$54.8	Time and Materials	N	2009-11-10	2019-09-30	Y	ActionNet Task Order: Data Center Hosting Management
Awarded	6901	<a href="#">DTOS59D1000006</a>	DTOS59-09-D-00467		*	*	\$3.5	Firm Fixed Price	Y	2009-11-10	2014-09-30	Y	ActionNet Task Order: Issuance of a Task Order for Information

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
													Systems Security (ISSO).
Awarded	6901	<a href="#">DTOS59D1000007</a>	DTOS59-09-D-00467		*	*	\$2.6	Firm Fixed Price	Y	2009-11-10	2011-09-30	Y	ActionNet Task Order: Customer Account Management Team (CAM).
Awarded	6901	<a href="#">DTOS59DO900001</a>	DTOS5907D00467		*	*	\$0.0	Time and Materials	N	2008-10-01	2012-08-31	Y	SUPPORT FOR O-CIO IT INITIATIVES RELATED TO TELECOMMUNICATIONS AND TELECOMMUNICATIONS MANAGEMENT SERVICES.
Awarded	6901	<a href="#">DTOS59DO900002</a>	DTOS5907D00468		*	*	\$0.0	Labor Hours	Y	2009-08-07	2011-08-31	Y	Task Order to CITI for Quality Assurance Support to ITSS.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded	6901	<a href="#">DTOS59D1000005</a>	DTOS5907D00469		*	*	\$0.0	Cost Plus Fixed Fee	X	2010-03-03	2012-01-08	Y	DEVELOPMENT OF INTERNATIONAL FREIGHT DATA SYSTEM (IFDS)
Awarded	6901	<a href="#">DTOS59D1000011</a>	DTOS5909D00467		*	*	\$4.4	Firm Fixed Price	Y	2009-11-12	2011-09-30	Y	ActionNet Task Order: Cloud Computing
Awarded	6901	<a href="#">DTOS59D1000002</a>	DTOS5907D00467		*	*	\$4.9	Firm Fixed Price	Y	2009-12-11	2012-08-31	Y	WEB APPLICATION SUPPORT
Awarded	6901	<a href="#">DTOS59D1000004</a>	DTOS5909D00467		*	*	\$15.8	Firm Fixed Price	Y	2009-11-10	2010-09-30	Y	ActionNet Task Order: Svc. Desk Support Svcs.
Awarded	6901	<a href="#">DTOS59D1000010</a>	DTOS5909D00467		*	*	\$0.4	Firm Fixed Price	N	2010-05-05	2011-07-31	Y	New Task Order
Awarded	6901	GS35F0577V	DTOS5910F00054		*	*	\$0.2	Time and Materials	Y	2010-01-19	2010-09-30		

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded	6901	<a href="#">DTOS5908C00408</a>			*	*	\$0.4	Firm Fixed Price	N	2008-01-23	2012-11-30	N	PR to fund/acquire Microsoft Premier Support Services for the Enterprise as outlined in the attached proposal.
Awarded	6901	<a href="#">2010Z002</a>	DTOS5907A00019		*	*	\$5.9	Firm Fixed Price	N	2010-06-30	2013-06-14	Y	Amend Base PR by funding the TRUE-UP on DOT's Microsoft Software Assurance license agreement.
Awarded	6901	<a href="#">DTOS59DO900001</a>	DTOS5907D00467		*	*	\$1.7	Time and Materials	N	2008-10-01	2012-08-31	Y	SUPPORT FOR O-CIO IT INITIATIVES RELATED TO TELECOMMUNICATIONS AND TELECOMMUNICATIONS



Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
MANAGEMENT SERVICES.													
Awarded	6901	<a href="#">DTOS5907D00468</a>		DTOS59-06-R-00016	*	*	\$0.8	Time and Materials	N	2007-09-01		Y	IT Services
Awarded	6901	<a href="#">DTOS59D1000013</a>	DTOS5909D00467		*	*	\$0.6	Firm Fixed Price	N	2010-06-08	2010-11-26	Y	ActionNet Task Order: Exchange/SCCM/OCS/ADRMS
Awarded	6901	<a href="#">DTOS5908C00416</a>			*	*	\$1.2	Firm Fixed Price	N	2008-04-09	2012-09-30	Y	AMENDMENT TO: (1) CORRECT THE PERIOD OF PERFORMANCE START DATE; AND (2) INSERT OPTION PERIODS FY2009 THROUGH FY2013 FOR THE ACQUISITION OF OPERATIONS AND MAINTENANCE

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
													CE OF THE DOT
Awarded	6901	<a href="#">DTOS5908C00415</a>			*	*	\$0.0	Time and Materials	N	2008-04-09		Y	PR to fund/acquire Operations and Maintenance for the DOT headquarters , telecommunications infrastructure & Non-core Services -- located at SFC that provides routine services such as, but not limited to, moves, adds, changes, and other infrastructure support services. The O-OCIO's request for

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
													Telecom Services is divided between two PRs: (1) PR
Awarded	6901	<a href="#">DTOS5907C00403</a>			*	*	\$22.0	Time and Materials	N	2006-10-01		Y	FY2007 Financial Management Services
Awarded	6901	<a href="#">DTOS5908C00415</a>			*	*	\$1.4	Time and Materials	N	2008-04-09		Y	PR to fund/acquire Operations and Maintenance for the DOT headquarters , telecommunications infrastructure ¿- Non-core Services -- located at SFC that provides routine services such as, but

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
													not limited to, moves, adds, changes, and other
Awarded	6901	Software License & Maintenance (various contracts)			*	*	\$4.8	Firm Fixed Price	N	2010-10-01	2011-09-30		
Awarded	6901	Hardware Purchases & Maintenance (various contracts)			*	*	\$9.3	Firm Fixed Price	N	2010-10-01	2011-09-30		
Awarded	6901	Telephony Equipment Services/Purchases & Maintenance (various contracts)			*	*	\$1.3	Firm Fixed Price	N	2010-10-01	2011-09-30		

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

\*

3.

a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow \*

b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 \*

- c. Was the Acquisition Plan approved in accordance with agency requirements \*
- d. If "yes," enter the date of approval? \*
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? \*
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? \*
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

\*

## Part II: IT Capital Investments

### Section A: General

1.
  - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
  - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
  
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. The COE currently uses cloud computing technologies for internal and external websites. DOT is complying with the OMB mandate and various modes within DOT are looking to use the COE's cloud computing technologies for their business applications.
  
3. Provide the date of the most recent or planned Quality Assurance Plan 2009-05-18
  
4.
  - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.
  - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
  
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2003-07-26
  
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-03-26

## Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
DOT Common Operating Environment (COE) Development, Optimization and Operations	DME	*	\$0.0	\$0.0	2004-01-11	2004-01-11	2004-10-01	2004-10-01	100.00%	100.00%
DOT COE Development Phase 1(HQ IT Consolidation )	DME	*	\$12.5	\$9.5	2003-10-01	2003-10-01	2006-12-30	2006-12-30	100.00%	100.00%
Preliminary Planning	DME	*	\$0.0	\$0.0	2008-03-13	2008-03-17	2008-08-31	2008-09-30	100.00%	100.00%
IPv6 Infrastructure Planning	DME	*	\$0.1	\$0.1	2008-09-30	2007-09-30	2009-08-30	2009-09-30	100.00%	100.00%
Baseline Development & Data Collection	DME	*	\$0.2	\$0.1	2008-04-03	2008-04-10	2008-07-31	2008-07-31	100.00%	100.00%
Acquisition	DME	*	\$0.2	\$0.2	2008-05-01	2008-05-01	2008-08-31	2008-09-30	100.00%	100.00%
FRA migration into DOT COE desktop environment	SS	*	\$0.5	\$0.5	2008-09-30	2008-10-06	2009-09-30	2009-09-23	100.00%	100.00%
SLSDC migration into DOT COE desktop environment	SS	*	\$0.1	\$0.1	2008-09-30	2008-04-30	2009-04-30	2009-04-30	100.00%	100.00%
NHTSA migration into DOT COE desktop environment	SS	*	\$0.2	\$0.2	2009-09-30	2009-10-15	2010-09-30	2010-02-26	100.00%	100.00%
MARAD migration into	SS	*	\$0.5	\$0.5	2008-09-30	2009-09-01	2009-09-30	2009-11-05	100.00%	100.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
DOT COE desktop environment										
FMCSA migration into DOT COE desktop environment	SS	*	\$0.8	\$0.6	2010-09-30	2010-09-30	2011-09-30		75.00%	75.00%
OST migration into DOT COE desktop environment	SS	*	\$0.2	\$0.2	2009-09-30	2009-05-12	2010-09-30	2010-04-19	100.00%	100.00%
DOT COE Development Phase 3 (Server Optimization & Consolidation) Completion	SS	*	\$2.0	\$2.0	2009-09-30	2009-10-01	2010-09-30	2010-09-30	100.00%	100.00%
Preliminary Planning for field support model	SS	*	\$0.3	\$0.3	2009-09-30	2009-10-05	2010-09-30	2010-11-02	100.00%	100.00%
DOT COE O&M FY 2007	SS	*	\$17.6	\$17.2	2006-09-30	2006-09-30	2007-09-30	2007-09-30	100.00%	100.00%
DOT COE O&M FY 2008	SS	*	\$18.5	\$18.0	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
DOT COE O&M FY 2009	SS	*	\$19.3	\$19.2	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
DOT COE O&M FY 2010	SS	*	\$15.9	\$15.2	2009-10-01	2009-10-01	2010-09-30	2010-09-30	100.00%	100.00%
DOT COE O&M FY 2011	SS	*	\$17.1	\$3.0	2010-10-01	2010-10-01	2011-09-30		75.00%	75.00%
DOT COE O&M FY 2012	SS	*	\$21.7	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
DOT COE O&M FY 2013	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
DOT COE O&M FY 2014	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*



Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
DOT COE O&M FY 2015	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
Desktop Image Upgrade - Windows 7	SS	*	\$0.0	\$0.0	2010-02-16	2010-02-16	2010-05-14	2010-05-26	100.00%	100.00%
PC Helps Support	SS	*	\$0.2	\$0.2	2009-10-01	2009-10-01	2010-09-30	2010-09-10	100.00%	100.00%
Microsoft Premier Support - Dec 2009-Nov 2010	SS	*	\$0.4	\$0.4	2009-12-01	2009-12-01	2010-11-30	2010-11-30	100.00%	100.00%
Remedy Upgrade	SS	*	\$0.2	\$0.2	2010-06-15	2010-06-15	2010-09-30	2011-04-04	100.00%	100.00%
Program Support (Budget/Finance, Billing, Procurement) FY 2010	SS	*	\$4.4	\$4.4	2009-10-01	2009-10-01	2010-09-30	2010-09-30	100.00%	100.00%
Quality Assurance FY 2010	SS	*	\$0.4	\$0.4	2009-10-01	2009-10-01	2010-09-30	2010-09-30	100.00%	100.00%
Quality Assurance FY 2011	SS	*	\$0.4	\$0.3	2010-10-01	2010-10-01	2011-08-31		81.81%	81.81%
Microsoft Premier Support - Dec 2010-Nov 2011	SS	*	\$0.4	\$0.2	2010-12-01	2010-12-01	2011-11-30		58.33%	58.33%
Microsoft Premier Support - Dec 2011-Nov 2012	SS	*	*	*	2011-12-01	*	2012-11-30	*	*	*
DOT COE O&M FY 2010 - scanning	SS	*	\$0.0	\$0.0	2009-10-01	2009-10-01	2010-09-30	2010-09-10	100.00%	100.00%
DOT COE O&M FY 2010 - patching	SS	*	\$0.0	\$0.0	2009-10-01	2009-10-01	2010-09-30	2010-09-10	100.00%	100.00%
DOT COE O&M FY 2010 - service	SS	*	\$3.0	\$2.6	2009-10-01	2009-10-01	2010-09-30	2010-09-10	100.00%	100.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
desk										
DOT COE O&M FY 2011 - scanning	SS	*	\$0.0	\$0.0	2010-10-01	2010-10-01	2011-09-30		75.00%	75.00%
DOT COE O&M FY 2011 - patching	SS	*	\$0.0	\$0.0	2010-10-01	2010-10-01	2011-09-30		75.00%	75.00%
DOT COE O&M FY 2011 - service desk	SS	*	\$3.2	\$0.0	2010-10-01	2010-10-01	2011-09-30		75.00%	75.00%
DOT COE O&M FY 2012 - scanning	SS	*	\$0.0	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
DOT COE O&M FY 2012 - patching	SS	*	\$0.0	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
DOT COE O&M FY 2012 - service desk	SS	*	\$4.2	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
DOT COE O&M FY 2013 - scanning	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
DOT COE O&M FY 2013 - patching	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
DOT COE O&M FY 2013 - service desk	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
DOT COE O&M FY 2014 - scanning	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
DOT COE O&M FY 2014 - patching	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
DOT COE O&M FY 2014 - service	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
desk										
DOT COE O&M FY 2015 - scanning	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
DOT COE O&M FY 2015 - patching	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
DOT COE O&M FY 2015 - service desk	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
Desktop Image Upgrade - Windows 7 Planning/Requirements	DME	*	\$0.0	\$0.0	2010-02-16	2010-02-16	2010-02-26	2010-03-01	100.00%	100.00%
Desktop Image Upgrade - Windows 7 Develop/Build Image	DME	*	\$0.1	\$0.1	2010-03-01	2010-03-01	2010-04-27	2010-04-27	100.00%	100.00%
Desktop Image Upgrade - Windows 7 Application Compatibility Pnlg	DME	*	\$0.0	\$0.1	2010-04-05	2010-04-05	2010-05-05	2010-05-12	100.00%	100.00%
Remedy Upgrade - Development Environment Setup	SS	*	\$0.0	\$0.0	2010-06-25	2010-06-25	2010-08-02	2011-02-28	100.00%	100.00%
Remedy Upgrade - Data Validation	SS	*	\$0.1	\$0.1	2010-06-29	2010-06-29	2010-09-03	2011-03-15	100.00%	100.00%
Remedy Upgrade - Test Documentation	SS	*	\$0.0	\$0.0	2010-08-17	2010-09-15	2010-09-13	2011-03-02	100.00%	100.00%
Remedy Upgrade - Train Users	SS	*	\$0.0	\$0.1	2010-08-20	2010-08-30	2010-09-30	2011-05-31	100.00%	100.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Program Support	SS	*	\$4.5	\$3.4	2010-10-01	2010-10-01	2011-09-30		75.00%	75.00%
COE C&A (valid for FY 2011-2013)	SS	*	\$0.3	\$0.3	2010-08-04	2010-08-04	2010-09-30	2010-09-30	100.00%	100.00%

**2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.** In FY 11, the COE will perform an operational analysis in the areas of customer results, strategic and business results, financial performance and innovation. It will explain the investment's relative level of alignment with the agency's mission and strategic goals, summarizes user/customer satisfaction analysis and identify possible opportunities for improvement. Remedy upgrade project is now live- completion on April 4; training continues throughout April.

**3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.**  
2010-12-31

**4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?**  
yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

## Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Processes and Activities	Innovation and Improvement	Annual DOT COE Refresh Activities	annual	% of DOT COE users that receive refresh of desktop equipment	maintain	Desktop Refresh for 25% of DOT COE user population	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	Maintain Refresh 25% of DOT COE population	Desktop Refresh for 25% of DOT COE user population	Not Met	2011-01-28
			2011	Maintain Refresh 25% of DOT COE population	Q1 FY2012	Not Due	2010-09-20
Processes and Activities	Innovation and Improvement	Annual DOT COE Refresh Activities	annual	% of DOT COE users that receive refresh of desktop equipment	maintain	Based on Actuals from FY2011	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	Maintain Refresh 25% of DOT COE population	Q1 FY2013	Not Due	2010-09-20
Processes and Activities	Innovation and Improvement	Annual DOT COE Refresh Activities	annual	Administrations migrated into DOT COE O&M	Increase	Based on Actuals from FY2012	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	Maintain Refresh 25% of DOT COE population	Q1 FY2014	Not Due	2010-09-20
Processes and Activities	Innovation and Improvement	Annual DOT COE Refresh Activities	annual	Administrations migrated into the DOT COE O&M	Increase	Based on Actuals from FY2013	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated

			2014	Maintain Refresh 25% of DOT COE population	Q1 FY2015	Not Due	2010-09-20
Processes and Activities	Innovation and Improvement	Annual DOT COE Refresh Activities	annual	Administrations migrated into DOT COE O&M	Increase	Based on Actuals from FY2014	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	Maintain Refresh 25% of DOT COE population	Q1 FY2016	Not Due	2010-09-20
Processes and Activities	Innovation and Improvement	Annual DOT COE Refresh Activities	annual	Administrations migrated into the DOT COE O&M	Increase	Based on Actuals from FY2015	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2016	Maintain Refresh 25% of DOT COE population	Q1 FY2017	Not Due	2010-09-20
Mission and Business Results	IT Infrastructure Maintenance	Number of DOT COE users	annual	DOT COE users	Increase	Managed Services (DOT COE) approx. 7,700 subscribers	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	Managed Services (DOT COE) to be approx. 8,700 subscribers	Managed Services (DOT COE) to be approx. 8,700 subscribers	Met	2011-01-28
Mission and Business Results	IT Infrastructure Maintenance	Number of DOT COE users	annual	DOT COE users	Increase	Managed Services (DOT COE) to be approx. 8,700 subscribers	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Managed Services (DOT COE) to be approx. 9,900 subscribers	Q1 FY2012	Not Due	2010-09-20
Mission and Business	IT Infrastructure	Number of DOT COE	annual	DOT COE users	Increase	Based on Actuals from	2010-10-29



Results	Maintenance	users	FY2011				
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	Managed Services (DOT COE) to be approx. 10,500 subscribers	Q1 FY2013	Not Due	2010-09-20
Mission and Business Results	IT Infrastructure Maintenance	Number of DOT COE users	annual	DOT COE users	Increase	Based on Actuals from FY2012	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	Target will be set based on actual performance in FY2012	Q1 FY2014	Not Due	2010-09-20
Mission and Business Results	IT Infrastructure Maintenance	Number of DOT COE users	annual	DOT COE users	Increase	Based on Actuals from FY2013	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	Target will be set based on actual performance in FY2013	Q1 FY2015	Not Due	2010-09-20
Mission and Business Results	IT Infrastructure Maintenance	Number of DOT COE users	annual	DOT COE users	Increase	Based on Actuals from FY2014	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	Target will be set based on actual performance in FY2014	Q1 FY2016	Not Due	2010-09-20
Mission and Business Results	IT Infrastructure Maintenance	Number of DOT COE users	annual	DOT COE users	Increase	Based on Actuals from FY2015	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2016	Target will be set based on actual performance in FY2015	Q1 FY2017	Not Due	2010-09-20

Technology	Operations and Maintenance Costs	Number of subordinate administration field site infrastructure systems	annual	Administrations with separate infrastructure in each of it's operating field locations migrated into the DOT COE	Increase	7 administration with separate infrastructure in each of it's operating field locations migrated into DOT COE	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	9 administrations with separate infrastructure migrated into DOT COE	9 administrations with separate infrastructure migrated into DOT COE	Met	2011-01-28
Technology	Operations and Maintenance Costs	Number of subordinate administration field site infrastructure systems	annual	Administrations with separate infrastructure in each of it's operating field locations migrated into the DOT COE	Increase	9 administration with separate infrastructure in each of it's operating field locations migrated into DOT COE	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Migrate 2 field locations into DOT COE - 11 administrations with separate infrastructure migrated into DOT COE	Q1 FY2012	Not Due	2010-09-20
Technology	Operations and Maintenance Costs	Number of subordinate administration field site infrastructure systems	annual	Administrations with separate infrastructure in each of it's operating field locations migrated into the DOT COE	Increase	Based on Actuals from FY2011	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	Migrate 1 field location into DOT COE O&M	Q1 FY2013	Not Due	2010-09-20
Technology	Operations and Maintenance Costs	Number of subordinate administration field site infrastructure systems	annual	% of DOT COE users that receive refresh of desktop equipment	maintain	Based on Actuals from FY2012	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	Target will be set based	Q1 FY2014	Not Due	2010-09-20

			on actual performance in FY2012				
Technology	Operations and Maintenance Costs	Number of subordinate administration field site infrastructure systems	annual	% of DOT COE users that receive refresh of desktop equipment	maintain	Based on Actuals from FY2013	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	Target will be set based on actual performance in FY2013	Q1 FY2015	Not Due	2010-09-20
Technology	Operations and Maintenance Costs	Number of subordinate administration field site infrastructure systems	annual	% of DOT COE users that receive refresh of desktop equipment	maintain	Based on Actuals from FY2014	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	Target will be set based on actual performance in FY2014	Q1 FY2016	Not Due	2010-09-20
Technology	Operations and Maintenance Costs	Number of subordinate administration field site infrastructure systems	annual	% of DOT COE users that receive refresh of desktop equipment	maintain	Based on Actuals from FY2015	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2016	Target will be set based on actual performance in FY2015	Q1 FY2017	Not Due	2010-09-20
Customer Results	Service Availability	Scheduled DOT COE network downtime	annual	Number of scheduled maintenance windows annually	maintain	approx. 12 annual scheduled maintenance windows	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	Maintain apporx. 12 annual scheduled maintenance windows (4 to 6 hours)	apporx. 12 annual scheduled maintenance windows (4 to 6 hours)	Met	2011-01-28

Customer Results	Service Availability	Scheduled DOT COE network downtime	annual	Number of scheduled maintenance windows annually	maintain	12 annual scheduled maintenance windows	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Maintain apporx. 12 annual scheduled maintenance windows (4 to 6 hours)	Q1 FY2012	Not Due	2010-09-20
Customer Results	Service Availability	Scheduled DOT COE network downtime	annual	Number of scheduled maintenance windows annually	maintain	Based on Actuals from FY2011	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	Maintain 12 annual scheduled maintenance windows (4 to 6 hours)	Q1 FY2013	Not Due	2010-09-20
Customer Results	Service Availability	Scheduled DOT COE network downtime	annual	Number of scheduled maintenance windows annually	maintain	Based on Actuals from FY2012	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	Maintain 12 annual scheduled maintenance windows (4 to 6 hours)	Q1 FY2014	Not Due	2010-09-20
Customer Results	Service Availability	Scheduled DOT COE network downtime	annual	Number of scheduled maintenance windows annually	maintain	Based on Actuals from FY2013	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	Maintain 12 annual scheduled maintenance windows (4 to 6 hours)	Q1 FY2015	Not Due	2010-09-20
Customer Results	Service Availability	Scheduled DOT COE network downtime	annual	Number of scheduled maintenance windows annually	maintain	Based on Actuals from FY2014	2010-10-29

			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	Maintain 12 annual scheduled maintenance windows (4 to 6 hours)	Q1 FY2016	Not Due	2010-09-20
Customer Results	Service Availability	Scheduled DOT COE network downtime	annual	Number of scheduled maintenance windows annually	maintain	Based on Actuals from FY2015	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2016	Maintain 12 annual scheduled maintenance windows (4 to 6 hours)	Q1 FY2017	Not Due	2010-09-20
Customer Results	Response Time	Service Desk Speed to Answer	annual	percent of calls answered within 30 seconds	maintain	90% of calls answered within 30 seconds	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	Maintain 90% of calls answered within 30 seconds	90% of calls answered within 30 seconds	Met	2011-01-28
			2011	90% of calls answered within 30 seconds	Q1 FY2012	Not Due	2010-09-20
Customer Results	Response Time	Service Desk Speed to Answer	annual	percent of calls answered within 30 seconds	maintain	Based on Actuals from FY2011	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	Maintain 90% of calls answered within 30 seconds	Q1 FY2013	Not Due	2010-09-20
Customer Results	Response Time	Service Desk Speed to Answer	annual	percent of calls answered within 30 seconds	maintain	Based on Actuals from FY2012	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated

			2013	Maintain 90% of calls answered within 30 seconds	Q1 FY2014	Not Due	2010-09-20
Customer Results	Response Time	Service Desk Speed to Answer	annual	percent of calls answered within 30 seconds	maintain	Based on Actuals from FY2013	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	Maintain 90% of calls answered within 30 seconds	Q1 FY2015	Not Due	2010-09-20
Customer Results	Response Time	Service Desk Speed to Answer	annual	percent of calls answered within 30 seconds	maintain	Based on Actuals from FY2014	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	Maintain 90% of calls answered within 30 seconds	Q1 FY2016	Not Due	2010-09-20
Customer Results	Response Time	Service Desk Speed to Answer	annual	percent of calls answered within 30 seconds	maintain	Based on Actuals from FY2015	2010-10-29
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2016	Maintain 90% of calls answered within 30 seconds	Q1 FY2017	Not Due	2010-09-20

\* - Indicates data is redacted.